

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Steven M.H. WALLMAN

Serial No.: 10/627,626

Filed: July 28, 2003

For: METHOD AND APPARATUS FOR
ENABLING INDIVIDUAL OR
SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A
PORTFOLIO OF SECURITIES . . .

Examiner: Mr. Daniel Lawson Greene

Art Unit: 3694

Confirmation No.: 4309

RESPONSE TO OFFICE ACTION

Mail Stop: Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Responsive to the Office Action, mailed November 12, 2009, kindly amend the application as follows:

Amendments to the Claims begin on page 2.

Remarks begin on page 3.